United Nations ST/AI/2006/2

Secretariat

31 May 2006

Administrative instruction

Internal controls governing access to copies of the records of the Serious Crimes Unit of the Office of the Prosecutor General of Timor-Leste

The Under-Secretary-General for Management, pursuant to section 6.1 of Secretary-General's bulletin ST/SGB/2006/7 and for the purpose of establishing detailed rules and procedures regarding the maintenance of the log to record access that is had to, and use that is made of, the copy of the records that were compiled by the Serious Crimes Unit of the Office of the Prosecutor General of Timor-Leste, hereby promulgates the following:

Section 1
Creation and maintenance of the log

1.1 The Chief of the Archives and Records Management Section shall create and maintain the log provided for in section 6.1 of Secretary-General's bulletin ST/SGB/2006/7.

1.2 The log shall be created and maintained in the ARMS electronic recordkeeping system.

1.3 The ARMS electronic recordkeeping system shall include protection measures for the protection of the confidentiality of the log pursuant to ST/SGB/2004/15.

Section 2
Parts of the log

The log shall consist of the following parts:

(a) Receipt;

(b) Preparation for storage;

(c) Storage;

(d) Preservation;

(e) Access upon the authorization of the Secretary-General.

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Section 3
Record of receipt

There shall be recorded in part (a) of the log:

(a) The date and time of the receipt at United Nations Headquarters in New York of the containers containing the copy of the records;

(b) The office address at which delivery of the containers was taken;

(c) The identities of the officials of the Archives and Records Management Section who took delivery;

(d) The office address to which the containers were transferred following receipt.

Section 4
Record of preparation for storage

4.1 There shall be recorded in part (b) of the log:

(a) Details of the opening and unpacking of the containers as follows:

(i) The identity of the container opened and unpacked;

(ii) The date on, and the time at, which it was opened and unpacked;

(iii) The office address at which it was opened and unpacked;

(iv) The identity of the official or officials of the Archives and Records Management Section who opened and unpacked it or who were otherwise present when it was opened and unpacked;

(b) Details of the preparation of the copy of the records for storage as follows:

(i) The identity of each official of the Archives and Records Management Section who had access to the copy of the records or to part thereof;

(ii) The part of the copy of the records to which that official had access;

(iii) The date or dates on, and the time or times for, which that official had access;

(iv) The office address at which that official had access;

(v) The operations that that official performed for the purpose of preparing the part of the copy of the records concerned for storage;

(vi) The part of the records on which those operations were performed;

(c) For hard copy records, details of the packing and sealing of the copy of the records as follows:

(i) The identity of the container packed and sealed and its contents;

(ii) The date on, and the time at, which it was packed and sealed;

(iii) The identity of the official or officials of the Archives and Records Management Section who packed and sealed it;

(iv) The office address at which packing and sealing took place;

(v) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the container was being packed and sealed, the time during which they were present and the reason or reasons for their presence;

(d) For electronic copy records, the audit trail of the migration and closing of the copy of the records as follows:

(i) The name of the database created and closed and its contents;

(ii) The date on, and the time at, which it was created and closed;

(iii) The identity of the official or officials of the Archives and Records Management Section who created and closed it;

(iv) The identity of the secure non-networked storage device on which creation and closing took place;

(v) The identifier of the server or workstation on which the database was created and closed;

(vi) The office address at which creating and closing took place;

(vii) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the database was being created and closed, the time during which they were present and the reason or reasons for their presence.

4.2 A scanned copy of the original signed versions of the designations made by the Chief of the Archives and Records Management Section in accordance with section 2.2 (b) of Secretary-General's bulletin ST/SGB/2006/7 shall be stored in the ARMS electronic recordkeeping system.

Section 5
Storage

There shall be recorded in part (c) of the log:

(a) For hard copy records, details of the transfer of the sealed containers to permanent storage as follows:

(i) The identity of the container transferred to permanent storage;

(ii) The date on, and the time at, which it was transferred;

(iii) The office address from which it was transferred;

(iv) The office address to which it was transferred;

(v) The identity of the official or officials of the United Nations who carried out the transfer;

(b) For electronic copy records, the audit trail of the transfer of the secure non-networked storage device for permanent storage as follows:

(i) The identity of the secure non-networked storage device transferred to permanent storage;

(ii) The date on, and the time at, which it was transferred;

(iii) The office address from which it was transferred;

(iv) The office address to which it was transferred;

(v) The identity of the official or officials of the United Nations who carried out the transfer;

(c) For hard copy records, details of the retrieval of containers from permanent storage as follows:

(i) The identity of the container retrieved;

(ii) The date on, and the time at, which it was retrieved;

(iii) The identity of the official of the Archives and Records Management Section requesting its retrieval;

(iv) The office address from which it was retrieved;

(v) The office address to which it was taken;

(vi) The identity of the official or officials of the United Nations who transported the container to its destination;

(vii) The identity of the official of the Archives and Records Management Section who took delivery of the container at its destination;

(viii) The date on, and the time at, which that official took delivery;

(d) For electronic records, the audit trail of the retrieval of the secure non-networked storage device from permanent storage as follows:

(i) The identity of the secure non-networked storage device retrieved;

(ii) The date on, and the time at, which it was retrieved;

(iii) The identity of the official of the Archives and Records Management Section requesting its retrieval;

(iv) The office address from which it was retrieved;

(v) The office address to which it was taken;

(vi) The identity of the official or officials of the United Nations who transported the secure non-networked storage device to its destination;

(vii) The identity of the official of the Archives and Records Management Section who took delivery of the secure non-networked storage device at its destination;

(viii) The date on, and the time at, which that official took delivery;

(e) For hard copy records, details of the return of a resealed container to permanent storage as follows:

(i) The identity of the container returned and its contents;

(ii) The date on, and the time at, which it was returned;

(iii) The office address from which it was taken;

(iv) The office address to which it was taken;

(v) The identity of the official or officials of the United Nations who carried out the transfer;

(vi) The identity of the official of the Archives and Records Management Section who took delivery of the container at its destination;

(vii) The date on, and the time at, which that official took delivery;

(f) For electronic copy records, details of the return of the secure non-networked storage device to permanent storage as follows:

(i) The identity of the secure non-networked storage device returned;

(ii) The date on, and the time at, which it was returned;

(iii) The office address from which it was taken;

(iv) The office address to which it was taken;

(v) The identity of the official or officials of the United Nations who carried out the transfer;

(vi) The identity of the official of the Archives and Records Management Section who took delivery of the secure non-networked storage device at its destination;

(vii) The date on, and the time at, which that official took delivery.

Section 6
Preservation

6.1 There shall be recorded in part (d) of the log:

(a) For hard copy records, details, as follows, of the unsealing and unpacking of containers which are retrieved by the Archives and Records Management Section for the purpose of maintaining, caring for, preserving or repairing their contents pursuant to section 4 of Secretary-General's bulletin ST/SGB/2006/7:

(i) The identity of the container unsealed and unpacked;

(ii) The date on, and the time at, which it was unsealed and unpacked;

(iii) The office address at which it was unsealed and unpacked;

(iv) The identity of the official or officials of the Archives and Records Management Section who unsealed and unpacked it;

(v) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the container was being unsealed and unpacked, the time for which they were present and the reason or reasons for their presence;

(b) For electronic copy records, the audit trail, as follows, of the opening of databases by the Archives and Records Management Section for the purpose of maintaining, caring for, preserving or repairing their contents pursuant to section 4 of Secretary-General's bulletin ST/SGB/2006/7:

(i) The name of the database opened;

(ii) The date on, and the time at, which it was opened;

(iii) The identity of the secure non-networked storage device on which opening took place;

(iv) The identifier of the server or workstation on which the database was opened;

(v) The office address at which it was opened;

(vi) The identity of the official or officials of the Archives and Records Management Section who opened it;

(vii) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the database was being opened, the time for which they were present and the reason or reasons for their presence;

(c) For hard copy records, details of the work carried out on the contents of a container as follows:

(i) The identity of each official of the Archives and Records Management Section who had access to the contents of the unsealed container;

(ii) The date or dates on, and the time or times for, which that official had such access;

(iii) The office address at which that official had such access;

(iv) The operations that that official performed on or in respect of the container or its contents;

(v) The part of the records on which those operations were performed;

(d) For electronic copy records, the audit trail of the work carried out on the database or part of the database as follows:

(i) The identity of each official of the Archives and Records Management Section who had access to the database and its contents;

(ii) The date or dates on, and the time or times for, which that official had such access;

(iii) The identifier of the server or workstation on which that official had such access;

(iv) The office address at which that official had such access;

(v) The operations that that official performed on or in respect of the database;

(vi) The part of the records on which those operations were performed;

(e) For hard copy records, details of the repacking and resealing of the container for its return to permanent storage as follows:

(i) The identity of the container repacked and resealed and its contents;

(ii) The date on, and the time at, which it was repacked and resealed;

(iii) The identity of the official or officials of the Archives and Records Management Section who repacked and resealed it;

(iv) The office address at which the repacking and resealing took place;

(v) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the container was being repacked and resealed, the time during which they were present and the reason or reasons for their presence;

(f) For electronic copy records, the audit trail of the reclosing of the database for permanent storage as follows:

(i) The name of the database reclosed and its contents;

(ii) The date on, and the time at, which it was reclosed;

(iii) The identity of the official or officials of the Archives and Records Management Section who reclosed it;

(iv) The secure non-networked storage device on which reclosing took place;

(v) The identifier of the server or workstation on which the database was reclosed;

(vi) The office address at which reclosing took place;

(vii) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the database was being reclosed, the time during which they were present and the reason or reasons for their presence.

6.2 A scanned copy of the original signed versions of the designations made by the Chief of the Archives and Records Management Section in accordance with section 4.2 (b) of Secretary-General's bulletin ST/SGB/2006/7 shall be stored in the ARMS electronic recordkeeping system.

Section 7
Access upon the authorization of the Secretary-General

7.1 There shall be recorded in part (e) of the log:

(a) For hard copy records, details, as follows, of the unsealing and unpacking of any container which is unsealed and unpacked with the express written authorization of the Secretary-General pursuant to section 5 of Secretary-General's bulletin ST/SGB/2006/7:

(i) The identity of the container unsealed and unpacked;

(ii) The date on, and the time at, which it was unsealed and unpacked;

(iii) The office address at which it was unsealed and unpacked;

(iv) The identity of the official or officials of the Archives and Records Management Section who unsealed and unpacked it;

(v) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the container was

being unsealed and unpacked, the time during which they were present and the reason or reasons for their presence;

(b) For electronic copy records, the audit trail, as follows, of the opening of any database which is opened with the express written authorization of the Secretary-General pursuant to section 5 of Secretary-General's bulletin ST/SGB/2006/7:

(i) The name of the database opened;

(ii) The date on, and the time at, which it was opened;

(iii) The identity of the secure non-networked storage device on which opening took place;

(iv) The identifier of the server or workstation on which the database was opened;

(v) The office address at which it was unsealed and unpacked;

(vi) The identity of the official or officials of the Archives and Records Management Section who opened it;

(vii) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the database was being opened, the time during which they were present and the reason or reasons for their presence;

(c) For hard copy records, details of actions carried out in respect of the contents of a container as follows:

(i) The identity of each official of the Archives and Records Management Section who had access to the contents of the container;

(ii) The date or dates on, and the time or times for, which that official had such access;

(iii) The office address at which that official had such access;

(iv) The operations that that official performed on or in respect of any part of the copy of the records;

(v) The part of the records on which those operations were performed;

(d) For electronic copy records, the audit trail of the work carried out on the database or part of the database as follows:

(i) The identity of each official of the Archives and Records Management Section who had access to the database and its contents;

(ii) The date or dates on, and the time or times for, which that official had such access;

(iii) The identifier of the server or workstation on which that official had such access;

(iv) The operations that that official performed in respect of the database;

(v) The part of the records on which those operations were performed;

(e) For hard copy records, details of the repacking and resealing of the container for its return to permanent storage as follows:

(i) The identity of the container repacked and resealed and its contents;

(ii) The date on, and the time at, which it was repacked and resealed;

(iii) The identity of the official or officials of the Archives and Records Management Section who repacked and resealed it;

(iv) The office address at which the repacking and resealing took place;

(v) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the container was being repacked and resealed, the times during which they were present and the reason or reasons for their presence;

(f) For electronic copy records, the audit trail of the reclosing of the database for permanent storage as follows:

(i) The name of the database reclosed;

(ii) The date on, and the time at, which it was reclosed;

(iii) The identity of the official or officials of the Archives and Records Management Section who reclosed it;

(iv) The secure non-networked storage device on which reclosing took place;

(v) The identifier of the server or workstation on which the database was reclosed;

(vi) The office address at which reclosing took place;

(vii) The identity of any other official or officials of the Archives and Records Management Section who were otherwise present while the database was being reclosed, the times during which they were present and the reason or reasons for their presence.

7.2 A scanned copy of the original signed versions of written authorizations of the Secretary-General granted in accordance with section 5 of Secretary-General's bulletin ST/SGB/2006/7 shall be stored in the ARMS electronic recordkeeping system.

Section 8
Final provisions

8.1 The present instruction shall enter into force on 12 June 2006.

8.2 The present instruction shall terminate on the date specified in or in accordance with section 3.2 of Secretary-General's bulletin ST/SGB/2006/7.

(*Signed*) Christopher B. **Burnham**
Under-Secretary-General for Management